

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: YAMAGUCHI et al.
 Docket: 13409.6USWO
 Title: FILTER CARTRIDGE

001 37129

CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: E1921133903US

Date of Deposit: September 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service Express Mail Post Office
 To Addressee's service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By:

Name: Omesh Singh

BOX PCT
 Commissioner for Patents
 Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☐ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☐ National Stage PCT Patent Application: Spec. 130 pgs: 29 claims: Abstract 1 pgs.
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☐ 21 sheets of formal drawings
- ☐ A signed Combined Declaration and Power of Attorney
- ☐ Assignment of the invention to CHISSO CORPORATION, Recordation Form Cover Sheet
- ☐ A check in the amount of \$1182.00 to cover the Filing Fee
- ☐ A check for \$40.00 to cover the Assignment Recording Fee.
- ☐ Other: Form PTO-1390; PCT/ISA/210; PCT/IB/304; PCT/IB/308; PCT/IPEA/409; Preliminary Amendment, with Marked-up Copy of Claims, Abstract; Courtesy Copy of PCT/JP00/01998 and its English translation
- ☐ Return postcard

CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$860.00
Total Claims								
29	-	20	=	9	x	18.00	=	\$162.00
Independent Claims								
5	-	3	=	2	x	80.00	=	\$160.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$1182.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.
 P.O. Box 2903, Minneapolis, MN 55402-0903
 (612) 332-5300

By:

Name: Douglas P. Mueller
 Reg. No.: 30,300
 Initials: DPMUELLER/kas



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: YAMAGUCHI et al.
Docket: 13409.6USWO
Title: FILTER CARTRIDGE

CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL921133903US

Date of Deposit: September 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By: Omesh Singh

Name: Omesh Singh

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☐ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☐ National Stage PCT Patent Application: Spec. 130 pgs: 29 claims: Abstract 1 pgs.
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☐ 21 sheets of formal drawings
- ☐ A signed Combined Declaration and Power of Attorney
- ☐ Assignment of the invention to CHISSO CORPORATION, Recordation Form Cover Sheet
- ☐ A check in the amount of \$1182.00 to cover the Filing Fee
- ☐ A check for \$40.00 to cover the Assignment Recording Fee.
- ☐ Other: Form PTO-1390; PCT ISA 210; PCT IB 304; PCT IB 308; PCT/IPEA 409; Preliminary Amendment, with Marked-up Copy of Claims, Abstract; Courtesy Copy of PCT/JP00/01998 and its English translation
- ☐ Return postcard

CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$860.00
Total Claims								
29	-	20	=	9	x	18.00	=	\$162.00
Independent Claims								
5	-	3	=	2	x	80.00	=	\$160.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$1182.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
(612) 332-5300

By: Douglas P. Mueller

Name: Douglas P. Mueller

Reg. No.: 30,300

Initials: DPMUELLER/kas



(PTO TRANSMITTAL - NEW FILING)

FORM PTO 1390
(REV. 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADE-MARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

13409.6USWO

U.S. APPLICATION NO. (If known, indicate 35 U.S.C. 371)
Unknown 09/937129

INTERNATIONAL APPLICATION NO.

PCT JP00 01998

INTERNATIONAL FILING DATE

March 30, 2000

PRIORITY DATE CLAIMED

March 30, 1999

TITLE OF INVENTION

FILTER CARTRIDGE

APPLICANT(S) FOR DO/EO/US

YAMAGUCHI et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

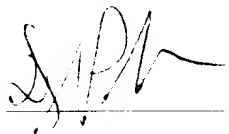
1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: PCT/ISA 210; PCT/IB/304; PCT/IB/308; PCT/IPEA/409; Preliminary Amendment, with Marked-up Copy of Claims, Abstract

20 SEP 2001

U.S. APPLICATION NO. (if known, see 37 CFR 1.101) Unknown 11 571 149	INTERNATIONAL APPLICATION NO. PCT JP00 01998	ATTORNEY'S DOCKET NUMBER 13409.6USWO
---	---	---

17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): Search Report has been prepared by the EPO or JPO.....\$860.00 International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)).....\$690.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$710.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO..... \$1000.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$100.00	CALCULATIONS PTO USE ONLY																																																																													
ENTER APPROPRIATE BASIC FEE AMOUNT =	\$860.00																																																																													
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$																																																																													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 15%;">RATE</th> <th style="width: 15%;"></th> <th style="width: 15%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>29</td> <td>-20 = 9</td> <td>X \$18.00</td> <td>\$162.00</td> <td></td> </tr> <tr> <td>Independent claims</td> <td>5</td> <td>-3 = 2</td> <td>X \$80.00</td> <td>\$160.00</td> <td></td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$260.00</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$1182.00</td> <td></td> </tr> <tr> <td colspan="4"> Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27 </td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">SUBTOTAL =</td> <td>\$118200</td> <td></td> </tr> <tr> <td colspan="4"> Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). </td> <td>+ \$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">TOTAL NATIONAL FEE =</td> <td>\$1182.00</td> <td></td> </tr> <tr> <td colspan="4"> Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property </td> <td>+ \$40.00</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">TOTAL FEES ENCLOSED =</td> <td>\$1222.00</td> <td></td> </tr> <tr> <td colspan="4"></td> <td style="text-align: center;">Amount to be: refunded</td> <td>\$</td> </tr> <tr> <td colspan="4"></td> <td style="text-align: center;">charged</td> <td>\$</td> </tr> </tbody></table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	29	-20 = 9	X \$18.00	\$162.00		Independent claims	5	-3 = 2	X \$80.00	\$160.00		MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$		TOTAL OF ABOVE CALCULATIONS =				\$1182.00		Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$		SUBTOTAL =				\$118200		Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$		TOTAL NATIONAL FEE =				\$1182.00		Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+ \$40.00		TOTAL FEES ENCLOSED =				\$1222.00						Amount to be: refunded	\$					charged	\$
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																																																																											
Total claims	29	-20 = 9	X \$18.00	\$162.00																																																																										
Independent claims	5	-3 = 2	X \$80.00	\$160.00																																																																										
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$																																																																										
TOTAL OF ABOVE CALCULATIONS =				\$1182.00																																																																										
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$																																																																										
SUBTOTAL =				\$118200																																																																										
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$																																																																										
TOTAL NATIONAL FEE =				\$1182.00																																																																										
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+ \$40.00																																																																										
TOTAL FEES ENCLOSED =				\$1222.00																																																																										
				Amount to be: refunded	\$																																																																									
				charged	\$																																																																									
a. <input checked="" type="checkbox"/> Checks in the amount of \$1182.00 and \$40.00 to cover the above fees are enclosed.																																																																														
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.																																																																														
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2725</u> .																																																																														
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.																																																																														
SEND ALL CORRESPONDENCE TO Douglas P. Mueller MERCHANT & GOULD P.O. Box 2903 Minneapolis, MN 55402-0903																																																																														
SIGNATURE:  NAME: Douglas P. Mueller REGISTRATION NUMBER: 30,300																																																																														